

Securities and Exchange Commission

§ 249.637

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form 9-M, see the List of CFR Sections Affected in the Finding Aids section of this volume.

§ 249.510 Form 10-M, consent to service of process by a nonresident general partner of a broker-dealer firm.

This form shall be filed pursuant to Rule 15b1-5 (§ 240.15b1-5 of this chapter) by each nonresident general partner of a broker-dealer firm registered or applying for registration pursuant to section 15 of the Act.

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form 10-M, see the List of CFR Sections Affected in the Finding Aids section of this volume.

Subpart G—Forms for Reports To Be Made by Certain Exchange Members, Brokers, and Dealers

§ 249.617 Form X-17A-5, information required of certain brokers and dealers pursuant to section 17 of the Securities Exchange Act of 1934 and § 240.17a-5, § 240.17a-10 and § 240.17a-11, and § 240.17a-12 of this chapter.

Appropriate parts of this form shall be used by every broker or dealer required to file reports under § 240.17a-5(a), (b), and (d), § 240.17a-10(a), and § 240.17a-11, and § 240.17a-12 of this chapter.

(Secs. 15, 17 and 23, of the Securities Exchange Act of 1934 (15 U.S.C. 78o, 78q, and 78w))

[49 FR 43455, Oct. 29, 1984, as amended at 63 FR 59404, Nov. 3, 1998]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form X-17A-5, see the List of CFR Sections Affected in the Finding Aids section of this volume.

§ 249.618 Form BD-Y2K, information required of broker-dealers pursuant to section 17 of the Securities Exchange Act of 1934 and § 240.17a-5 of this chapter.

This form shall be used by every broker-dealer required to file reports under § 240.17a-5(e) of this chapter.

[63 FR 37674, July 13, 1998]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form BD-Y2K, see the List

of CFR Sections Affected in the Finding Aids section of this volume.

§ 249.619 Form TA-Y2K, information required of transfer agents pursuant to section 17 of the Securities Exchange Act of 1934 and § 240.17Ad-18 of this chapter.

This form shall be used by every registered transfer agent required to file reports under § 240.17Ad-18 of this chapter.

[63 FR 37694, July 13, 1998]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form TA-Y2K, see the List of CFR Sections Affected in the Finding Aids section of this volume.

§§ 249.620—249.634 [Reserved]

§ 249.635 Form X-17A-19, report by national securities exchanges and registered national securities associations of changes in the membership status of any of their members.

This form shall be completed and filed by each national securities exchange or registered national securities association as required by § 240.17a-19 of this chapter within 5 business days of the occurrence of the initiation of the membership of any person or the suspension or termination of the membership of any of its members.

[45 FR 39840, June 12, 1980]

§ 249.636 Form 17A-23, information required of certain broker and dealer sponsors of broker-dealer trading systems pursuant to section 17 of the Securities Exchange Act of 1934 and § 240.17a-23 of this chapter.

This form shall be used by every registered broker and dealer that is required to file reports under § 240.17a-23 of this chapter.

[59 FR 66710, Dec. 28, 1994]

§ 249.637 Form ATS, information required of alternative trading systems pursuant to § 242.301(b)(2) of this chapter.

This form shall be used by every alternative trading system to file required notices, reports and amendments under § 242.301(b)(2) of this chapter.

[63 FR 70933, Dec. 22, 1998]

§ 249.638

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form ATS, see the List of CFR Sections Affected in the Finding Aids section of this volume.

§ 249.638 Form ATS-R, information required of alternative trading systems pursuant to § 242.301(b)(8) of this chapter.

This form shall be used by every alternative trading system to file required reports under § 242.301(b)(8) of this chapter.

[63 FR 70943, Dec. 22, 1998]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form ATS-R, see the List of CFR Sections Affected in the Finding Aids section of this volume.

Subpart H—Forms For Reports as to Stabilization

§ 249.709 [Reserved]

Subpart I—Forms for Self-Regulatory Organization Rule Changes and Forms for Registration of and Reporting by National Securities Associations and Affiliated Securities Associations

§ 249.801 Form X-15AA-1, for application for registration as a national securities association or affiliated securities association.

This form shall be filed as an application for registration as a national securities association or as an affiliated securities association pursuant to Rule 15Aa-1 (§ 240.15Aa-1 of this chapter).

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form X-15AA-1, see the List of CFR Sections Affected in the Finding Aids section of this volume.

§ 249.802 Form X-15AJ-1, for amendatory and/or supplementary statements to registration statement of a national securities association or an affiliated securities association.

This form shall be filed pursuant to Rule 15Aj-1 (§ 240.15Aj-1 of this chapter) as amendatory and/or supplementary statements to registration statement of a national securities association or an affiliated securities association.

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form X-15AJ-1, see the

17 CFR Ch. II (4-1-00 Edition)

List of CFR Sections Affected in the Finding Aids section of this volume.

§ 249.803 Form X-15AJ-2, for annual consolidated supplement of a national securities association or an affiliated securities association.

This form shall be filed pursuant to Rule 15Aj-1 (§ 240.15Aj-1 of this chapter) for the annual consolidated supplement to registration statement of a national securities association or an affiliated securities association.

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form X-15AJ-2, see the List of CFR Sections Affected in the Finding Aids section of this volume.

§ 249.819 Form 19b-4, for filings with respect to proposed rule changes by all self-regulatory organizations.

This form shall be used by all self-regulatory organizations, as defined in section 3(a)(26) of the Securities Exchange Act of 1934, to file proposed rule changes with the Commission pursuant to section 19(b) of that Act and Rule 19b-4 thereunder.

[40 FR 40512, Sept. 3, 1975. Redesignated at 45 FR 73915, Nov. 7, 1980]

EDITORIAL NOTES: 1. Copies of the form have been filed with the Office of the Federal Register and will be forwarded to the self-regulatory organizations. Copies may be requested from the Commission.

2. For FEDERAL REGISTER citations affecting Form 19b-4, see the List of CFR Sections Affected in the Finding Aids section of this volume.

§ 249.820 Form 19b-4(e) for the listing and trading of new derivative securities products by self-regulatory organizations that are not deemed proposed rule changes pursuant to Rule 19b-4(e) (§ 240.19b-4(e)).

This form shall be used by all self-regulatory organizations, as defined in section 3(a)(26) of the Act, to notify the Commission of a self-regulatory organization's listing and trading of a new derivative securities product that is not deemed a proposed rule change, pursuant to Rule 19b-4(e) under the Act (17 CFR 240.19b-4(e)).

[63 FR 70967, Dec. 22, 1998]

EDITORIAL NOTE: For FEDERAL REGISTER citations affecting Form 19b-4(e), see the List of CFR Sections Affected in the Finding Aids section of this volume.